

**DECLARATION AND POWER OF ATTORNEY
FOR PATENT APPLICATION**

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

HUMAN CNS NEURAL STEM CELL
the specification of which

(check one) ☐ is attached hereto

☒ was filed on September 5, 1997 as
Application Serial No. 08/926,313
and was amended on _____
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I do not know and do not believe that the invention was ever patented or described in any printed publication in any country before my or our invention thereof or more than one year prior to this application.

I do not know and do not believe that the invention was in public use or on sale in the United States of America more than one year prior to this application.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known by me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed:

09178035-102398

Prior Foreign Application(s)

			<u>Priority Claimed</u>	
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	<input type="checkbox"/> Yes	<input type="checkbox"/> No

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known by me to be material to patentability as defined in Title 37, Code of Federal Regulations, § 1.56 which became available between the filing date of the prior application and the national or PCT international filing date of this application:

_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

As a named inventor, I hereby appoint the following attorneys or agents to prosecute this application and transact all business in the United States Patent and Trademark Office connected therewith:

Ivor R. Elrifi, (Reg. No. 39,529)

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Boston, Massachusetts 02111

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Ivor R. Elrifi
(617) 542 6000

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I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of first inventor Melissa Carpenter

First Inventor's signature *MK Carpenter*

Date 1/26/98

Residence Lincoln, RI

Citizenship United States

Post Office Address 2303 Wake Robin Road

Lincoln, Rhode Island 02865

Full name of second joint inventor _____

Second Inventor's signature _____

Date _____

Residence _____

Citizenship _____

Post Office Address _____

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Applicant or Patentee: Carpenter

Attorney's Docket No. CTI-49

Serial or Patent No.: 08/926,313

Filed or Issued: September 5, 1997

For: HUMAN CNS NEURAL STEM CELLS

VERIFIED STATEMENT (DECLARATION) CLAIMING SMALL ENTITY STATUS
(37 C.F.R. §§ 1.9(f) and 1.27(c)) - SMALL BUSINESS CONCERN

I hereby declare that I am

☐ the owner of the small business concern identified below:

☒ an official of the small business concern empowered to act on behalf
of the concern identified below:

NAME OF CONCERN CYTOTHERAPEUTICS, INC.

ADDRESS OF CONCERN 701 George Washington Hwy, Lincoln, RI 02865

I hereby declare that the above-identified small business concern qualifies as a small business concern as defined in 13 C.F.R. § 121.3-18, and reproduced in 37 C.F.R. § 1.9(d), for the purpose of paying reduced fees under Section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled HUMAN CNS NEURAL STEM CELLS by inventors CARPENTER described in:

☐ the specification filed herewith

☒ application serial no. 08/926,313, filed September 5, 1997

☐ patent no. _____, issued _____

If the rights held by the above-identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below* and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person had made the invention, or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

*NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities (37 C.F.R. § 1.27).

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NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

NAME _____

ADDRESS _____

☐ INDIVIDUAL ☐ SMALL BUSINESS CONCERN ☐ NONPROFIT ORGANIZATION

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 C.F.R. § 1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, and any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING Frederic A. Eustis, III

TITLE OF PERSON OTHER THAN OWNER Executive Vice President

ADDRESS OF PERSON SIGNING 701 George Washington Hwy, Lincoln, RI

SIGNATURE Frederic A. Eustis, III DATE 1/26/98

Express Mail No.: EI518 985US
Date of Deposit: 10/23/98

CTI-49 (Div. 1)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Examiner	:	To be assigned
Group Art Unit	:	To be assigned
Applicant	:	Carpenter
Serial No.	:	To be assigned
Divisional Application of		
Serial No.	:	08/926,313
Filed	:	September 5, 1997
For	:	HUMAN CNS NEURAL STEM CELLS

Box Patent Application

Commissioner for Patents
Washington, D.C. 20231

Boston, Massachusetts
October 23, 1998

ASSOCIATE POWER OF ATTORNEY

An Associate Power of Attorney is hereby granted to the following attorney to conduct all business in the United States Patent and Trademark Office concerned with this application:

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Respectfully submitted,



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